997 Functional Acknowledgment

Functional Group ID=FA

Introduction:

This Draft Standard for Trial Use contains the format and establishes the data contents of the Functional Acknowledgment Transaction Set (997) for use within the context of an Electronic Data Interchange (EDI) environment. The transaction set can be used to define the control structures for a set of acknowledgments to indicate the results of the syntactical analysis of the electronically encoded documents. The encoded documents are the transaction sets, which are grouped in functional groups, used in defining transactions for business data interchange. This standard does not cover the semantic meaning of the information encoded in the transaction sets.

Page No.	Pos. No.	Seg. ID	Name	Req. Des.	Max.Use	Loop Repeat	Notes and Comments
3	010	ST	Transaction Set Header	M	1		n1
4	020	AK1	Functional Group Response Header	M	1		n2
			LOOP ID - AK2			999999	
5	030	AK2	Transaction Set Response Header	O	1		n3
			LOOP ID - AK3			999999	
6	040	AK3	Data Segment Note	O	1		c1
8	050	AK4	Data Element Note	O	99		
10	060	AK5	Transaction Set Response Trailer	M	1		
13	070	AK9	Functional Group Response Trailer	M	1		
16	080	SE	Transaction Set Trailer	M	1		

Transaction Set Notes

1. These acknowledgments shall not be acknowledged, thereby preventing an endless cycle of acknowledgments of acknowledgments.
    The Functional Group Header Segment (GS) is used to start the envelope for the Functional Acknowledgment Transaction Sets. In preparing the functional group of acknowledgments, the application sender's code and the application receiver's code, taken from the functional group being acknowledged, are exchanged; therefore, one acknowledgment functional group responds to only those functional groups from one application receiver's code to one application sender's code.

There is only one Functional Acknowledgment Transaction Set per acknowledged functional group.

2. AK1 is used to respond to the functional group header and to start the acknowledgement for a functional group. There shall be one AK1 segment for the functional group that is being acknowledged.

3. AK2 is used to start the acknowledgement of a transaction set within the received functional group. The AK2 segments shall appear in the same order as the transaction sets in the functional group that has been received and is being acknowledged.

Segment: **ST** **Transaction Set Header**

Position: 010
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the start of a transaction set and to assign a control number

Data Element Summary

Ref. Des.	Data Element	Name	Attributes
ST01	143	**Transaction Set Identifier Code**	M ID 3/3

Code uniquely identifying a Transaction Set

    997   X12.20 Functional Acknowledgment

Ref. Des.	Data Element	Name	Attributes
ST02	329	**Transaction Set Control Number**	M AN 4/9

Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set

This control number is assigned by our translation software and is unique to the 997 transaction. This element must match data element SE02 329.

Segment: **AK1** **Functional Group Response Header**

Position:	020
Loop:	
Level:	
Usage:	Mandatory
Max Use:	1
Purpose:	To start acknowledgment of a functional group

Data Element Summary

Ref. Des.	Data Element	Name	Attributes	
AK101	479	Functional Identifier Code	M	ID 2/2

Code identifying a group of application related transaction sets

MH   Secondary Mortgage Market Investor Report (203)

Ref. Des.	Data Element	Name	Attributes	
AK102	28	Group Control Number	M	N0 1/9

Assigned number originated and maintained by the sender

This control number is assigned by our translation software. This number is taken from the GS segment of the 203 being acknowledged.

Segment: **AK2** **Transaction Set Response Header**

Position:	030
Loop:	AK2
Level:	
Usage:	Optional
Max Use:	1
Purpose:	To start acknowledgment of a single transaction set

Data Element Summary

Ref. Des.	Data Element	Name	Attributes
AK201	**143**	**Transaction Set Identifier Code**	**M ID 3/3**

Code uniquely identifying a Transaction Set

> 203   X12.340 Secondary Mortgage Market Investor
> Report

AK202	**329**	**Transaction Set Control Number**	**M AN 4/9**

Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set

This control number is assigned by our translation software. This number is taken from the ST segment of the 203 being acknowledged.

Segment: **AK3** Data Segment Note

Position: 040
Loop: AK3
Level:
Usage: Optional
Max Use: 1
Purpose: To report errors in a data segment and identify the location of the data segment

Data Element Summary

Ref. Des.	Data Element	Name	Attributes
AK301	721	**Segment ID Code**	**M** **ID 2/3**

Code defining the segment ID of the data segment in error (See Appendix A - Number 77)

This is the segment ID (e.g., BGN) of the segment that is in error.

AK302	719	**Segment Position in Transaction Set**	**M** **N0 1/6**

The numerical count position of this data segment from the start of the transaction set: the transaction set header is count position 1

AK303	447	**Loop Identifier Code**	**O** **AN 1/4**

The loop ID number given on the transaction set diagram is the value for this data element in segments LS and LE

AK304	720	**Segment Syntax Error Code**	**O** **ID 1/3**

Code indicating error found based on the syntax editing of a segment

1	Unrecognized segment ID
2	Unexpected segment
3	Mandatory segment missing
4	Loop Occurs Over Maximum Times
5	Segment Exceeds Maximum Use
6	Segment Not in Defined Transaction Set
7	Segment Not in Proper Sequence

8   Segment Has Data Element Errors

Segment: **AK4** Data Element Note

Position:	050
Loop:	AK3
Level:	
Usage:	Optional
Max Use:	99
Purpose:	To report errors in a data element and identify the location of the data element

Data Element Summary

Ref. Des.	Data Element	Name	Attributes
AK401	C030	**Position in Segment**	**M**

Code indicating the relative position of a simple data element, or the relative position of a composite data structure combined with the relative position of the component data element within the composite data structure, in error; the count starts with 1 for the simple data element or composite data structure immediately following the segment ID

Ref. Des.	Data Element	Name	Attributes
AK402	725	**Data Element Reference Number**	**O N0 1/4**

Reference number used to locate the data element in the Data Element Dictionary

Ref. Des.	Data Element	Name	Attributes
AK403	723	**Data Element Syntax Error Code**	**M ID 1/3**

Code indicating the error found after syntax edits of a data element

1	Mandatory data element missing
2	Conditional required data element missing.
3	Too many data elements.
4	Data element too short.
5	Data element too long.
6	Invalid character in data element.
7	Invalid code value.
8	Invalid Date

9	Invalid Time
10	Exclusion Condition Violated

Segment: **AK5** Transaction Set Response Trailer

Position:	060
Loop:	AK2
Level:	
Usage:	Mandatory
Max Use:	1
Purpose:	To acknowledge acceptance or rejection and report errors in a transaction set

Data Element Summary

Ref. Des.	Data Element	Name	Attributes
AK501	**717**	**Transaction Set Acknowledgment Code**	**M ID 1/1**

Code indicating accept or reject condition based on the syntax editing of the transaction set

A	Accepted
E	Accepted But Errors Were Noted
R	Rejected

Ref. Des.	Data Element	Name	Attributes
AK502	**718**	**Transaction Set Syntax Error Code**	**O ID 1/3**

Code indicating error found based on the syntax editing of a transaction set

1	Transaction Set Not Supported
2	Transaction Set Trailer Missing
3	Transaction Set Control Number in Header and Trailer Do Not Match
4	Number of Included Segments Does Not Match Actual Count
5	One or More Segments in Error
6	Missing or Invalid Transaction Set Identifier
7	Missing or Invalid Transaction Set Control Number
23	Transaction Set Control Number Not Unique within the Functional Group

AK503	**718**	**Transaction Set Syntax Error Code**	**O**	**ID 1/3**

Code indicating error found based on the syntax editing of a transaction set

1	Transaction Set Not Supported
2	Transaction Set Trailer Missing
3	Transaction Set Control Number in Header and Trailer Do Not Match
4	Number of Included Segments Does Not Match Actual Count
5	One or More Segments in Error
6	Missing or Invalid Transaction Set Identifier
7	Missing or Invalid Transaction Set Control Number
23	Transaction Set Control Number Not Unique within the Functional Group

AK504	**718**	**Transaction Set Syntax Error Code**	**O**	**ID 1/3**

Code indicating error found based on the syntax editing of a transaction set

1	Transaction Set Not Supported
2	Transaction Set Trailer Missing
3	Transaction Set Control Number in Header and Trailer Do Not Match
4	Number of Included Segments Does Not Match Actual Count
5	One or More Segments in Error
6	Missing or Invalid Transaction Set Identifier
7	Missing or Invalid Transaction Set Control Number
23	Transaction Set Control Number Not Unique within the Functional Group

AK505	**718**	**Transaction Set Syntax Error Code**	**O**	**ID 1/3**

Code indicating error found based on the syntax editing of a transaction set

1	Transaction Set Not Supported
2	Transaction Set Trailer Missing

	3		Transaction Set Control Number in Header and Trailer Do Not Match	
	4		Number of Included Segments Does Not Match Actual Count	
	5		One or More Segments in Error	
	6		Missing or Invalid Transaction Set Identifier	
	7		Missing or Invalid Transaction Set Control Number	
	23		Transaction Set Control Number Not Unique within the Functional Group	

AK506   **718**   **Transaction Set Syntax Error Code**   **O**   **ID 1/3**

Code indicating error found based on the syntax editing of a transaction set

1	Transaction Set Not Supported
2	Transaction Set Trailer Missing
3	Transaction Set Control Number in Header and Trailer Do Not Match
4	Number of Included Segments Does Not Match Actual Count
5	One or More Segments in Error
6	Missing or Invalid Transaction Set Identifier
7	Missing or Invalid Transaction Set Control Number
23	Transaction Set Control Number Not Unique within the Functional Group

Segment: # AK9 Functional Group Response Trailer

Position: 070
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To acknowledge acceptance or rejection of a functional group and report the number of included transaction sets from the original trailer, the accepted sets, and the received sets in this functional group
Notes: If AK901 contains the value "A" or "E", then the transmitted functional group is accepted. If AK901 contains the value "R", then the transmitted group is rejected.

Data Element Summary

Ref. Des.	Data Element	Name	Attributes	
AK901	**715**	**Functional Group Acknowledge Code**	**M**	**ID 1/1**

Code indicating accept or reject condition based on the syntax editing of the functional group

	A	Accepted	
	E	Accepted, But Errors Were Noted.	
	P	Partially Accepted, At Least One Transaction Set Was Rejected	
	R	Rejected	

AK902	**97**	**Number of Transaction Sets Included**	**M**	**N0 1/6**

Total number of transaction sets included in the functional group or interchange (transmission) group terminated by the trailer containing this data element

AK903	**123**	**Number of Received Transaction Sets**	**M**	**N0 1/6**

Number of Transaction Sets received

AK904	**2**	**Number of Accepted Transaction Sets**	**M**	**N0 1/6**

Number of accepted Transaction Sets in a Functional Group

AK905	**716**	**Functional Group Syntax Error Code**	**O**	**ID 1/3**

Code indicating error found based on the syntax editing of the functional group header and/or trailer

1	Functional Group Not Supported
2	Functional Group Version Not Supported
3	Functional Group Trailer Missing
4	Group Control Number in the Functional Group Header and Trailer Do Not Agree
5	Number of Included Transaction Sets Does Not Match Actual Count
6	Group Control Number Violates Syntax

AK906   **716**   **Functional Group Syntax Error Code**   **O**   **ID 1/3**

Code indicating error found based on the syntax editing of the functional group header and/or trailer

1	Functional Group Not Supported
2	Functional Group Version Not Supported
3	Functional Group Trailer Missing
4	Group Control Number in the Functional Group Header and Trailer Do Not Agree
5	Number of Included Transaction Sets Does Not Match Actual Count
6	Group Control Number Violates Syntax

AK907   **716**   **Functional Group Syntax Error Code**   **O**   **ID 1/3**

Code indicating error found based on the syntax editing of the functional group header and/or trailer

1	Functional Group Not Supported
2	Functional Group Version Not Supported
3	Functional Group Trailer Missing
4	Group Control Number in the Functional Group Header and Trailer Do Not Agree
5	Number of Included Transaction Sets Does Not Match Actual Count

		6	Group Control Number Violates Syntax		

AK908   **716**   **Functional Group Syntax Error Code**   **O   ID 1/3**

Code indicating error found based on the syntax editing of the functional group header and/or trailer

	1	Functional Group Not Supported
	2	Functional Group Version Not Supported
	3	Functional Group Trailer Missing
	4	Group Control Number in the Functional Group Header and Trailer Do Not Agree
	5	Number of Included Transaction Sets Does Not Match Actual Count
	6	Group Control Number Violates Syntax

AK909   **716**   **Functional Group Syntax Error Code**   **O   ID 1/3**

Code indicating error found based on the syntax editing of the functional group header and/or trailer

	1	Functional Group Not Supported
	2	Functional Group Version Not Supported
	3	Functional Group Trailer Missing
	4	Group Control Number in the Functional Group Header and Trailer Do Not Agree
	5	Number of Included Transaction Sets Does Not Match Actual Count
	6	Group Control Number Violates Syntax

Segment: **SE** **Transaction Set Trailer**

Position: 080
Loop:
Level:
Usage: Mandatory
Max Use: 1
Purpose: To indicate the end of the transaction set and provide the count of the transmitted segments (including the beginning (ST) and ending (SE) segments)

Data Element Summary

Ref. Des.	Data Element	Name	Attributes	
SE01	96	**Number of Included Segments**	M	N0 1/10

Total number of segments included in a transaction set including ST and SE segments

Ref. Des.	Data Element	Name	Attributes	
SE02	329	**Transaction Set Control Number**	M	AN 4/9

Identifying control number that must be unique within the transaction set functional group assigned by the originator for a transaction set

This control number is assigned by our translation software and is unique to the 997 transaction. This element must match data element ST02 329.